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## **INFORMATION DISCLOSURE CITATION IN AN APPLICATION**

Form PTO-1449

Docket Number	Application Number
23449-009	09/524,253
Applicant(s)	
Joseph G. GATTO	
Filing Date	Group Art Unit
March 13, 2000	3624

## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

**OTHER DOCUMENTS** (*Including Author, Title, Date, Pertinent Pages, Etc.*)

*Pages, Etc.)*

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**GROUP 3600**

EXAMINER N Lebovitz DATE CONSIDERED 10/28/03  
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



#11 /IDS

Page 1 of 1

<b>FORM PTO-1449</b> <b>(REV. 7-80)</b>		<b>U.S. DEPARTMENT OF COMMERCE</b> <b>PATENT AND TRADEMARK OFFICE</b>	<b>ATTY. DOCKET NO.:</b> <b>56351.000009</b>	<b>SERIAL NO.:</b> <b>09/524,253</b>
			<b>INVENTOR'S NAME:</b> <b>Joseph GATTO</b>	<b>EXAMINER:</b> <b>to be assigned</b>
			<b>FILING DATE:</b> <b>3/13/00</b>	<b>GROUP:</b> <b>2768</b>
<b>LIST OF MATERIALS CITED BY APPLICANT</b>  <b>(Use several sheets if necessary)</b>				

## U.S. PATENT DOCUMENTS

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MAY 3 - 2001  
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## **FOREIGN PATENT DOCUMENTS**

DOCUMENT ID	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
				YES	NO

**OTHER MATERIALS (Including Author, Title, Date, Pertinent Pages, Etc.)**

N.J	A	<a href="https://www.invesars.com/home.asp">https://www.invesars.com/home.asp</a> (printed 3/26/01)
A	B	I/B/E/S Internation Inc., Active Express
	C	The Journal of Finance, Vol. XXXIII, March 1978, No. 1
	D	The Predictive Value of Interim Reports for Improving Forecasts of Future Quarterly Earnings, April 1978
	E	Financial Analysts Journal/Jan. - Feb. 1996 "Analyst Forecasting Errors and their Implications for Security Analysis: An Alternative Perspective"
	F	The Journal of Portfolio Management "Analysts can Forecast Accuragely" Brown et al.
	G	Journal of Forecasting, Vol. 2 325-330 1983) "Perspective on Forecasting Research in Accounting and Finance"
	H	Journal of Accounting Research , Vol. 24 Supplement 1986 "Evidence on the Incremental Information Content of Additional Firm Disclosures made Concurrently with Earnings" Hoskin et al.'
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	O	International Journal of Forecasting, Vol. 11, No. 3 (1995) pp.361-500
	P	Financial Analysts Journal, Jan/Feb 1996
	Q	Accounting Organizations and Society, Vol. 21, No 7/8/October/November 1996
	R	Financial Analysts Journal March/April 1997
	S	Journal of Accounting & Economics Vol. 9 1987 (MSG.V. 9 No. 3)
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	U	The Accounting Review Vol. 67, No. 4 October 1992
	V	Financial Analysts Journal Nov/Dec 1997
	W	The Journal of Canadian Academic Accounting Association, Vol. 14, No. 1, Spring 1997
	X	The Journal of Canadian Academic Accounting Association, Vol. 16, No. 1, Spring 1999
	Y	Journal of Accounting Research Vol. 23, No. 1 Spring 1985
	Z	International Journal of Forecasting, Vol. 9, No. 3 (1993) pp. 295-436
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	B1	Journal of Accounting Auditing & Finance Vol. 9, No. 4 (new series) Fall 1994
	C1	The Journal of the Canadian Academic Accounting Association Vol. 11, No. 1-1 Summer 1994
	D1	The CPA Journal May 1995
	E1	International Journal of Forecasting , Vol. 12, No. 1 (1996) pp.1-192
	F1	Journal of Accounting Research Vol. 25, No. 1 Spring 1987
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	J1	The Journal of Portfolio Management Vol. 23, No. 4 Summer 1997
	K1	Journal of Accounting Research Vol. 38, No 1 Spring 2000
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	N1	Journal of Business Finance & Accounting, Vol. 19, No. 4 June 1992
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↓	Y1	Financial Analysts Journal, Vol. 55, No. 5 Sept/Oct. 1999
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	E2	"Enhancing Earnings Predictability Using Individual Analyst Forecasts", Herzberg et al. Summer 1999
	F2	"Do Stock Prices Fully reflect the Implications of Current Earnings for Future Earnings for AR1 Firms" Brown et al. 2000
	G2	"The Information Content of Analyst Stock Recomendations" Kirsche et al. 8/8/00
	H2	<a href="http://www.findarticles.com/m4PRN/1999_Oct_14/56284107/p1/article.jhtml">http://www.findarticles.com/m4PRN/1999_Oct_14/56284107/p1/article.jhtml</a> (printed 2/5/01)
	I2	<a href="http://my.zacks.com/?ALERT+www.zacks.com">http://my.zacks.com/?ALERT+www.zacks.com</a> (printed 2/2/01)
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	L2	<a href="http://www.iexchange.com">http://www.iexchange.com</a> (printed 2/5/01)
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N.J	O2	"Predicting Individual Analyst Earnings Forecast Accuracy", Brown et al. 9/29/99
	P2	The Journal of Finance Vol. XLIX, No. 1 March 1994
EXAMINER	<u>N. Lebrana</u>	DATE CONSIDERED

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MAY 3 - 2001  
Technology Center 2100

8/18/03

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (REV. 7-80)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE								ATTY. DOCKET NO.: 56351.000009		SERIAL NO.: 09/524,253	
LIST OF MATERIALS CITED BY APPLICANT (Use several sheets if necessary)										INVENTOR'S NAME: Joseph G. GATTO		EXAMINER: Not Yet Assigned	
										FILING DATE: March 13, 2000		GROUP: Not Yet Assigned	



## U.S. PATENT DOCUMENTS

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N-A	A	5	6	0	8	6	2	0	3/4/97	Lundgren				
	B	5	9	4	6	6	6	6	8/31/99	Nevo et al.				
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	D	5	9	1	1	1	3	6	6/8/99	Atkins				
	E	5	6	1	3	0	7	2	3/18/97	Hammond et al.				
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V	M	5	3	6	5	4	2	5	11/15/94	Torma et al.				
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		DOCUMENT NUMBER								DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
														YES NO
	O													

## OTHER MATERIALS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER <u>N. Abramau</u>	DATE CONSIDERED <u>8/25/03</u>
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**FORM PTO-1449**

**U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE**

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SERIAL NO.:	09/524,253
EXAMINER:	to be assigned
GROUP:	2768

## **U.S. PATENT DOCUMENTS**

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**OTHER MATERIALS (Including Author, Title, Date, Pertinent Pages, Etc.)**

EXAMINER N. L. Brana

**DATE CONSIDERED**

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FORM PTO-1449 (REV. 7-80)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO.: 56351.000009	SERIAL NO.: 09/524,253
		LIST OF MATERIALS CITED BY APPLICANT		INVENTOR'S NAME: Joseph G. GATTO	EXAMINER: to be assigned
		(Use several sheets if necessary)		FILING DATE: 3/13/00	GROUP: 2768

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JAN 09 2001  
U. S. PATENT & TRADEMARK OFFICE*

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLAS S	FILING DATE

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTR Y	CLAS S	SUB-CLAS S	TRANSLATION	
							YES	NO

## OTHER MATERIALS (Including Author, Title, Date, Pertinent Pages, Etc.)

N.J.	International Search Report
↑	BROWN et al. Composite Analyst Earnings Forecasts: The Next Generation. Journal of Business Forecasting. Summer of 1990. Vol. 9 Issue 2.
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EXAMINER N Subraman -DATE CONSIDERED 8/18/03

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# Electronic Information Disclosure Statement



## SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

Application:



09/524253

Confirmation: 7026

Applicant(s): Joseph GATTO

Docket Number: 23449-009

Group Art Unit: 3624

Examiner: Charles R. Kyle

search string: ( 5006998 or 5132899 or 5502637 or 5675746 or 5749077 or 5918217 or 5948054 or 5950176 or 5956691 or 6012042 or 6012043 or 6021397 or 6064986 or 6119103 or 6125355 or 6154732 or 6236980 or 6253192 or 6317726 or 6370516 or 20020019791 or 20020022988 or 20020082966 ).pn.

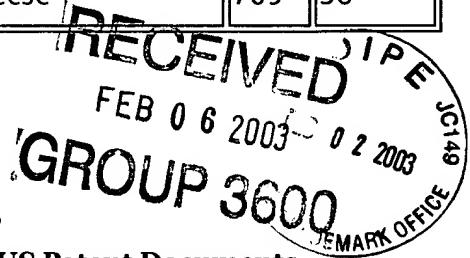
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Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
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↑	P02	5132899	1992-07-21		Fox	364	408
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Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
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N	U02	20020022988	2002-02-21		Columbus et al.	705	11
N	U03	20020082966	2002-06-27		O'Brien et al.	705	36

## Signature

Examiner Name	Date
N. Subramaniam	8/18/03





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Applicant(s)	
Joseph G. GATTO	
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**GROUP 3600**

## FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
						YES	NO
N.1	A	WO 01/80124	10/25/2001	International			
N.2	B	2000090150 A	03/31/2000	Japan			

**OTHER DOCUMENTS** (*Including Author, Title, Date, Pertinent Pages, Etc.*)

EXAMINER	DATE CONSIDERED
<u>N. Abram</u>	<u>8/18/03</u>

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